

FORM PTO-1390 (Modified) (REV. 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 17937
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR <b>10/500679</b> )
INTERNATIONAL APPLICATION NO. PCT/JP03/01193	INTERNATIONAL FILING DATE 5 FEBRUARY 2003 (05.02.2003)	PRIORITY DATE CLAIMED 7 FEBRUARY 2002 (07.02.2002)	
TITLE OF INVENTION METHOD FOR ADJUSTING RECORDING CONDITION OF OPTICAL INFORMATION, AND RECORDING/REPRODUCING METHOD AND APPARATUS			
APPLICANT(S) FOR DO/EO/US Shuichi OHKUBO			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input checked="" type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>			
Items 13 to 20 below concern document(s) or information included:			
<ol style="list-style-type: none"> <li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Express Mail Label No. <u>EV213897114US</u></li> <li>23. <input checked="" type="checkbox"/> Other items or information:</li> </ol>			
Priority Date Claimed Continued: 22 October 2002 (22.10.2002)			
Twelve sheets formal drawings			
Assignee: NEC Corporation of Tokyo, Japan			

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) <b>10/500679</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP03/01193</b>		ATTORNEY'S DOCKET NUMBER <b>17937</b>	
24. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1080.00</b> <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	*** 22 - 20 =	2	x \$18.00	<b>\$36.00</b>	
Independent claims	4 - 3 =	1	x \$86.00	<b>\$86.00</b>	
Multiple Dependent Claims (check if applicable).			<input checked="" type="checkbox"/>	<b>\$290.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$1,332.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>***Please see Preliminary Amendment for claim count</b>					
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$1,332.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1,332.00</b>	
				<b>Amount to be:</b>	
				<b>refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>
a. <input checked="" type="checkbox"/> A check in the amount of <b>\$1,332.00</b> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <b>19-1013SSMP</b> d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
<b>SEND ALL CORRESPONDENCE TO:</b>  <div style="border: 1px solid black; padding: 5px;"> <b>CUSTOMER NO. 23389</b>   <b>Paul J. Eatto, Jr.</b>  <b>Scully, Scott, Murphy &amp; Presser</b>  <b>400 Garden City Plaza</b>  <b>Garden City, New York 11530</b>  <b>(516) 742-4343</b> </div>					
<div style="border-bottom: 1px solid black; width: 150px; margin: 0 auto;"> </div> <b>SIGNATURE</b>  <b>Paul J. Esatto, Jr.</b> <div style="border-bottom: 1px solid black; width: 150px; margin: 0 auto;"></div> <b>NAME</b>  <b>30,749</b> <div style="border-bottom: 1px solid black; width: 150px; margin: 0 auto;"></div> <b>REGISTRATION NUMBER</b>  <b>June 30, 2004</b> <div style="border-bottom: 1px solid black; width: 150px; margin: 0 auto;"></div> <b>DATE</b>					

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Shuichi OPhkubo

Docket No.

17937

Serial No.  
unassigned

Filing Date  
herewith

Examiner  
unassigned

Group Art Unit  
herewith

Invention: **METHOD FOR ADJUSTING RECORDING CONDITION OF OPTICAL INFORMATION, AND RECORDING/REPRODUCING METHOD AND APPARATUS**

I hereby certify that the following correspondence:

**NEW U.S. APPLICATION UNDER 35 U.S.C. 371**

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

**June 30, 2004**

*(Date)*

**Paul J. Esatto, Jr.**

*(Typed or Printed Name of Person Mailing Correspondence)*

*(Signature of Person Mailing Correspondence)*

**EV213897114US**

*("Express Mail" Mailing Label Number)*

**Note: Each paper must have its own certificate of mailing.**